

NORTHERN PLAINS AREA
Policy Memorandum

DATE: June 25, 2003
SUBJECT: Submission of the ARS-115/Publication in ARIS, Northern Plains Area
NUMBER: PM-03-006
EFFECTIVE DATE: Immediately Until Replaced or Superseded

1. Purpose

An ARS-115 *Request to Submit Manuscript for Publication* is required whenever an ARS employee wishes to publish any kind of publication. In addition, it is also required whenever an employee is to present a paper, talk, poster, etc., at any scientific meeting, specifically in which a publication such as an abstract and/or proceedings are to be published. **The ARS-115 must be entered into ARIS, and all line management approvals obtained, prior to submitting the publication to the journal, and/or giving the presentation.**

2.. ARS-115 Revisions

Headquarters recently revised the ARIS data information requirements for an ARS-115. The following blocks have been added to the ARIS system:

- \$ Reporting CRADA related research; CRADA Project Number identification; and CRADA Cooperator notification of manuscript.
- \$ Remarks Section.
- \$ Clearance requirement for Non-ARS authors. This section indicates approval of all Non-ARS authors of the Interpretive Summary, Technical Abstract and Affiliation to be released to the public (Tektran).
- \$ Tektran system Ahold@requests. One block allows the ARS scientist to request the ARS-115 be held from Tektran until it is published; the second block allows a request to withhold the ARS-115 from Tektran permanently.
- \$ A Sensitive Issues button has been added to the signature screen. The button immediately identifies issues on the current list.

3. Requirements for Submission of an ARS-115

- \$ The ARS employee initiating the ARS-115 is responsible for obtaining CRADA Cooperator/Non-ARS Author clearance approvals and/or ARS-533 Peer Review forms. **All clearances must be obtained prior to ARIS entry.**

- C The ARS employee must attach all copies of the ARS-533 Peer Review forms for every peer-reviewed manuscript submission.
- C If the publication supports CRADA research, the CRADA number must be identified and the CRADA Cooperator must provide written clearance. The clearance authorization must be on file with the ARS-115 in the Unit/Location official files. A copy of the CRADA Cooperator clearance authorization must be sent to the NPA Technology Transfer Coordinator. Please reference the HQ issued Clearance/Responsibility memo (attached).
- C CRADA Cooperator/Non-ARS Author (*i.e.*, university) clearance memos/letters must be entered into the Remarks block. Reference the name of the individual and the date of the memo authorizing clearance. Clearance authorizations must be on file with the ARS-115 in the Unit/Location official files.
- C The Submitter must be an ARS employee, and a Cat. 1, 4, or 6. The Research Unit has the discretion to determine if the Research Leader will be listed as the Submitter.
- C Checking the hold blocks for the Tektran reports does **not** release the ARS employee from obtaining CRADA Cooperator/Non-ARS Author clearance approvals.
- C The RL/LD/CD line management approvals are required. The RL is responsible for verifying the CRADA Cooperator/Non-ARS Author clearance approvals, and/or ARS-533 Peer Review forms, have been received and are credible. All forms must be maintained in the official ARS-115 file at the Research Unit/Location level.
- C RL/LD/CD signatures must be handwritten, or initialed, authorizing release of the ARS-115. The original signature ARS-115 ARIS printout must be maintained in the official ARS-115 file at the Research Unit/Location Level.
- C Release of the ARS-115 through line management levels in ARIS is **not** authorized unless all copies of appropriate CRADA Cooperator/Non-ARS Author clearance approvals, and/or ARS-533 Peer Review forms, are on file.
- C Citation information: The ARS scientist must provide the Acceptance Date, Publication Date, and Citation information to the ARIS User for entry into the system. The ARIS system will be used to generate ARS-115 publications for the ARS-421 Annual Progress Report, publication reports as they relate to ARMPS reviews, performance evaluations, etc.
- C The ARS-115 Sensitive block on the Signature screen must be marked with a Y=Yes if one or more of the following applies: (1) reports CRADA research; (2) the Patent Information block is checked Yes; and/or (3) addresses research on the Sensitive Issues list.

4. Compliance and Monitoring

- Ⓒ ARMPS reviews will include the review of ARS-115 files for randomly selected unit employees. Files will be audited for clearance approvals and credible ARS-533 Peer Review forms.

5. Questions, Assistance, Guidance

- Ⓒ Cooperator clearance for non-ARS authors and/or sensitive issues:
Dr. Eric Roos, Assistant Area Director. (970) 229-5558; eric.roos@ars.usda.gov
- Ⓒ CRADA cooperator notifications/clearances and related research, and/or patents and inventions: Dr. Bryan Kaphammer, NPA Technology Transfer Coordinator.
(970) 229-5528; bryan.kaphammer@ars.usda.gov
- Ⓒ ARIS data entry: Marcie Currie-Gross, Extramural Agreements Assistant.
(970) 229-5522; marcie.currie-gross@ars.usda.gov

/s/

W.H. BLACKBURN
Area Director
Northern Plains Area